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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Clayton KITTRELL et al.      Art Unit : 2641  
Serial No. : 10/666,534      Examiner : N/A  
Filed : September 19, 2003  
Title : TRANSPORTABLE DOCUMENT IDENTIFIER

**Mail Stop Amendment**


Commissioner for Patents  
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R. Whitney Winston  
Reg. No. 44,432

INFORMATION DISCLOSURE STATEMENT

The attached two Information Disclosure Statements (2 pages each), filed in U.S. Application No. 10/214,444, are hereby submitted for consideration. Pursuant to 37 C.F.R. § 1.97(d), this statement is filed without copies of the cited references because: (1) the instant application claims the benefit of the filing date of U.S. Application No. 10/214,444 under 35 U.S.C. § 120 as a continuation-in-part; and (2) the attached Information Disclosure Statements were originally filed in U.S. Application No. 10/214,444 together with copies of the cited references in full compliance with paragraphs (a) through (c) of 37 C.F.R. § 1.97. Consideration is respectfully requested.

This statement is being filed pursuant to 37 C.F.R. § 1.97 before the mailing of a first Office action on the merits. Accordingly, it is believed that no fee is presently due. Please apply any other charges or credits to Deposit Account No. 50-3167.

Applicant : Clayton KITTRELL et al.  
Serial No. : 10/666,534  
Filed : September 19, 2003  
Page : 2 of 2

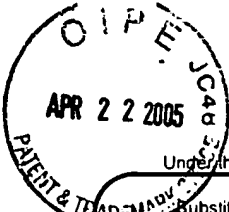
Attorney's Docket No.: 03.B.002US

Respectfully submitted,

Date: April 18, 2005

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

## Complete if Known

Application Number	10/214,444
Filing Date	August 8, 2002
First Named Inventor	Clayton KITTRELL
Art Unit	2645
Examiner Name	Simon P. Sing
Attorney Docket Number	04.B.001US

Sheet 1 of 2

## U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US- 20020031209	03-14-2002	SMITHIES et al.	
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## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				

Examiner  
Signature

Date  
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

**Complete if Known**

Application Number 10/214,444

Filing Date August 8, 2002

First Named Inventor Clayton KITTRELL

Art Unit 2645

Examiner Name Simon P. Sing

Attorney Docket Number 04.B.001US

Sheet

2

of

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**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Allen v. Wachtendorf, 962 S.W.2d 279 (Tex.App. Corpus Christi 1998)	

Examiner  
Signature

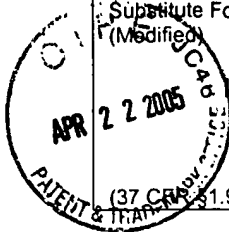
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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 14289-002001	Application No. 10/214,444
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)		Applicant Kittrell et al.	
		Filing Date August 8, 2002	Group Art Unit 2645

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	3,879,751	4/22/75	Gimelli			
	AB	4,914,586	4/3/90	Swinehart et al.			
	AC	4,949,379	8/14/90	Cordell			
	AD	5,005,200	4/2/91	Fischer			
	AE	5,091,975	2/25/92	Berger et al.			
	AF	5,126,543	6/30/92	Bergeron et al.			
	AG	5,247,497	9/21/93	Cohn			
	AH	5,436,972	7/25/95	Fischer			
	AI	5,544,255	8/6/96	Smithies et al.			
	AJ	5,577,120	11/19/96	Penzias			
	AK	5,647,017	7/8/97	Smithies et al.			
	AL	5,818,955	10/6/98	Smithies et al.			
	AM	6,091,835	7/18/00	Smithies et al.			
	AN	6,185,316	2/6/01	Buffam			

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AO	9161494	6/20/97	Japan				

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	AP	UNCITRAL Model Law on Electronic Signatures with Guide to Enactment 2001; United Nations Publication Sales No. E.02.V.8, ISBN 92-1-133653-8, 74 pages, 2001.
	AQ	Lisa Broderick et al., "JOHN HANCOCK REINVENTED: Using Keys and Other Handy Things As Electronic Signatures", PenOp, Inc. 1998, pp. 1-8.
	AR	Benjamin Wright, "EGGS IN BASKETS: Distributing the Risks of Electronic Signatures", <a href="http://efa.org/digsig/penop03.txt">http://efa.org/digsig/penop03.txt</a> , June 22, 1995, pp. 1-10.
	AS	Benjamin Wright, "THE LAW OF DIGITAL SIGNATURES", July 2002, pp. 1-8.
	AT	ILLINOIS ELECTRONIC COMMERCE SECURITY ACT With Comments - FINAL VERSION, <a href="file:///D:/ecommerce/legis/ill-esca.html">file:///D:/ecommerce/legis/ill-esca.html</a> , 1998, pages 1-49.

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 14289-002001	Application No. 10/214,444
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Kittrell et al.	
		Filing Date August 8, 2002	Group Art Unit 2645

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	AU	Department of Health and Human Services, Food and Drug Administration; 21 CFR Part 11, March 20, 1997; pp. 13429-13466.
	AV	Preliminary Specifications for Electronic Mortgage Loan Documentation; June 2001. Freddie Mac. pp. 1-52.
	AW	One Hundred Sixth Congress of the United States of America, Second Session, 01/24/2000, pp. S.761-1 – S.761-13.
	AX	Patricia B. Fry, Drafting Committee Memorandum for April UETA Meeting; 2 pages.
	AY	Office of Management and Budget, Implementation of the Government Paperwork Elimination Act; <a href="http://www.whitehouse.gov/omb/fedreg/print/gpea2.html">http://www.whitehouse.gov/omb/fedreg/print/gpea2.html</a> . May 2, 2000.
	AZ	Web VoiceID.com; <a href="http://tompritchard.com/voiceid/welcome.html">http://tompritchard.com/voiceid/welcome.html</a> , Copyright 2000-2002, pages 1-3.
	BA	"Records Management Guidance for Agencies Implementing Electronic Signature Technologies", National Archives and Records Administration, Oct. 18, 2000; pp. 1-18.
	BB	Benjamin Wright, Esq., "The Legality of the PenOp® Signature", PenOp Resource Center, Second Edition, 1994, pp. 1-24.
	BC	Kathy Lyons-Burke, "Federal Agency Use of Public Key Technology for Digital Signatures and Authentication", NIST Special Publication 800-25; pp. 1-30. October 2000.
	BD	Benjamin Wright, supplement to "The Law of Electronic Commerce", Little, Brown and Company 1991, 1994 supplement pp. 43-45.
	BE	Benjamin Wright, "CEREMONY™ IS A TIMELY TOOL FOR SATISFYING E-COMMERCE LAWS", PenOp Inc, 2000; 3 pages.
	BF	Selwood Research, Federal Trade Commission, "E-Sign Study – Comment P004102, pp. 1-4. March 16, 2001.
	BG	Misner, Robert L. "Tape Recordings, Business Transactions Via Telephone, and the Statute of Frauds," Iowa Law Review, Vol. 61, pp. 941-964, 1976.
	BH	Congressional Record – Senate, S5284, June 16, 2000.
	BI	Ellis Canning Company v. Arthur J. Bernstein. 348 F. Supp. 1212 (D. Colo. 1972).
	BJ	"Seal-It." J&R Software. <a href="http://www.j-r-software.com">http://www.j-r-software.com</a> . April 4, 2002.

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EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	